

IVV 16: Control of Records

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- [Purpose](#)
- [Scope](#)
- [Definitions and Acronyms](#)
 - [Acronyms](#)
- [Process Flow Diagram](#)
 - [Identification Process](#)
 - [New Subject Area or Project Filing Process](#)
 - [Record Storing Process](#)
 - [Protection Process](#)
 - [Retrieval Process](#)
 - [Retention Process](#)
 - [Records Disposition Process](#)
- [Metrics](#)
- [Records](#)
- [References](#)
- [Version History](#)

Purpose

The purpose of this system level procedure (SLP) is to establish and maintain a documented procedure that describes how to identify, store, protect, retrieve, retain, and disposition records for the NASA IV&V Program in accordance with NASA Procedural Requirements (NPR) 1441.1, *NASA Records Management Program Requirements*.

Scope

This SLP applies to Records and their subset, Quality Records, used by the NASA IV&V Program.

Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the [Quality Manual](#). Specialized definitions identified in this SLP are defined below.

- **Electronic Records**
 - Electronic Records are records stored in a format that only a computer can process. Most of these records will be stored with the appropriate file structure on the NASA IV&V Enterprise Content

Management (ECM) System as directed by the NASA IV&V Director. Other electronic records may be stored on other servers (e.g., Tools Lab (SWAT), SQL, or web).

- **Essential Records (Defined per NPR 1441.1E, *NASA Records Management Program Requirements*)**
 - Information systems and applications, electronic and hard-copy documents, references, and records needed to support essential functions during a continuity event. The two basic categories of essential records are emergency operating records and rights and interest records. Emergency operating records are essential to the continued functioning or reconstitution of an organization. Rights and interest records are critical to carrying out an organization's essential legal and financial functions and vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities.
- **Federal Records Center (FRC)**
 - The FRC is a records storage facility operated by the National Archives and Records Administration (NARA) for housing and servicing inactive and semi-active records of the Federal Government.
- **File Log**
 - The File Log is a listing of physical records maintained by the Records Custodian to help identify, file, store, and retrieve those records. The File Log also lists records (both physical and electronic) that have been dispositioned (deleted, destroyed, copied, or retired).
- **File Plan**
 - The File Plan is a listing of record categories, by Agency Filing Scheme (AFS) numbers, with retention periods identified. The File Plan is used by the Records Custodian to support indexing, filing, storing, and retaining records in accordance with NPR 1441.1, *NASA Records Management Program Requirements*.
- **Original Records**
 - Original Records are records created by the NASA IV&V Program.
- **Physical Records**
 - Physical Records are any records other than Electronic records. Physical records may include, but are not limited to: books, certificates, forms, maps, microfiche, paper records, printed photographs, and many other formats.
- **Quality Record**
 - A Quality Record is a record specifically required by an IMS document to furnish objective evidence of activity performed or results achieved. Quality Records are documented in the *Records* section of applicable IMS documents, and shall be audited in accordance with IVV 17, *Internal Quality Audits*. Quality records are a subset of Records.
- **Records**
 - Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them^[1].
- **Subject Area**
 - A Subject Area is a sub-category of a records category or record series as defined by NPR 1441.1, *NA SA Records Management Program Requirements*.

[1] U.S. Code, Title 44, Chapter 33, Section 3301, *Definition of Records*

Acronyms

AFS	Agency Filing Scheme
DCC	Document Control Custodian
DO	Document Owner
ECM	Enterprise Content Management
FRC	Federal Records Center
GPR	Goddard Procedural Requirements
IMS	NASA IV&V Management System
ISO	Information Systems Owner
NARA	National Archives and Records Administration
NODIS	NASA Online Directives Information System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements
QM	Quality Manual
SLP	System Level Procedure
WI	Work Instruction

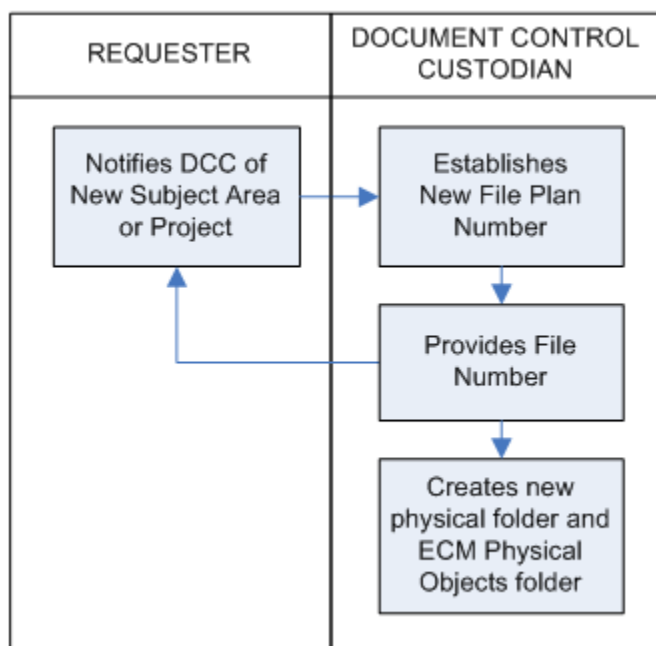
Process Flow Diagram

The following diagrams depict processes described in this document, and the responsibilities and actions that shall be performed by process participants. Any information supplemental to the depicted processes will appear after the diagram.

Identification Process

Document Control Custodian (DCC) collaborates with DOs to identify and document quality records in each SLP and WI in the *Records* section. Records that are not quality records are documented in the File Plan.

New Subject Area or Project Filing Process



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In preparation for storage of records, a requester shall notify the DCC of the new project or subject area. Then the DCC shall establish a File Number according to the File Plan and NPR 1441.1, *NASA Records Management Program Requirements*.

Record Storing Process

The Responsible Person shall ensure that Quality records are stored in the location stated in the *Records* section of the corresponding SLP/WI. Other records will be stored as noted in the File Plan.

Physical Records

To store physical records the Requester shall place the File Number in the top right corner of a record. In lieu of the actual records some situations may permit Form 1009, *Waiver Request and Approval*, or Form 1007, *Concurrence Sheet*.

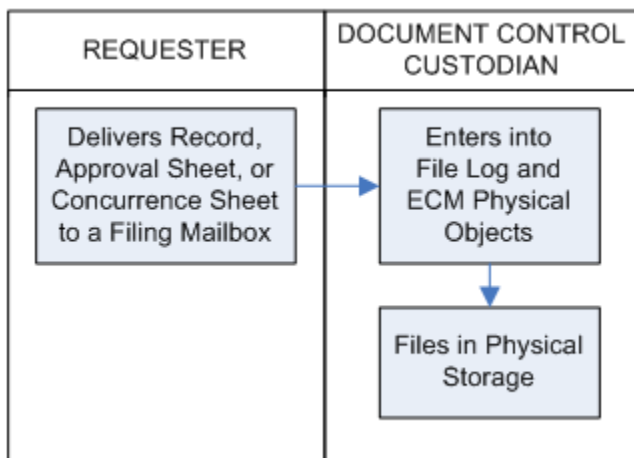
One filing mailbox is located in the Building 1 Administrative Office; and one filing mailbox is located in Building 2 (second floor) at the Security Guard station.

Records shall be filed in descending chronological order (newest to oldest), within their respective File Numbers.

For access of stored records:

- Review the File Plan to get file numbers for physical records
- Review the File Log to see individual file names of current physical records
- The File Log also has file names of destroyed physical records along with dates destroyed

Contact the DCC to access physical records stored in Building 1 file cabinets.



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Electronic Records

Electronic Records are stored on the ECM System and/or in various NASA IV&V and NASA-wide systems. For guidance on Functional Office electronic filing structures, refer to [*ECM/Strategic Communications Office/Knowledge Management/Records/FILING/ FilePlan.xlsx.*]

For access of stored records:

- Review the File Plan to get locations of electronic records
- The File Log also has file names of deleted electronic records along with dates deleted

Protection Process

Physical Records

The DCC shall ensure that physical records in the Building 1 filing system are stored in a temperature- and humidity- controlled environment where they will not be subject to damage or destruction. The Responsible Person as noted in the Records Table is responsible for physical records in other locations.

IV&V Project Managers, analysts, and anyone with physical records are encouraged to submit those records to the DCC for safe filing, especially when the project is no longer active. Other situations when records may need to be filed include: employee moving offsite or transitioning to another project.

Electronic Records

The ISO shall ensure the confidentiality, availability, and integrity of electronic records for the NASA IV&V Program as described in the certified and accredited 0A-9999-M-GSF-3282, *System Security Plan for the West Virginia University/Independent Verification & Validation Infrastructure and Tool Architecture* (Security Plan Package). This package includes all disaster recovery methodology used by the NASA IV&V Program. Full system backups are performed weekly, and incremental backups are performed nightly. Backups are tested periodically to ensure they are functional and the data integrity is preserved.

Retrieval Process

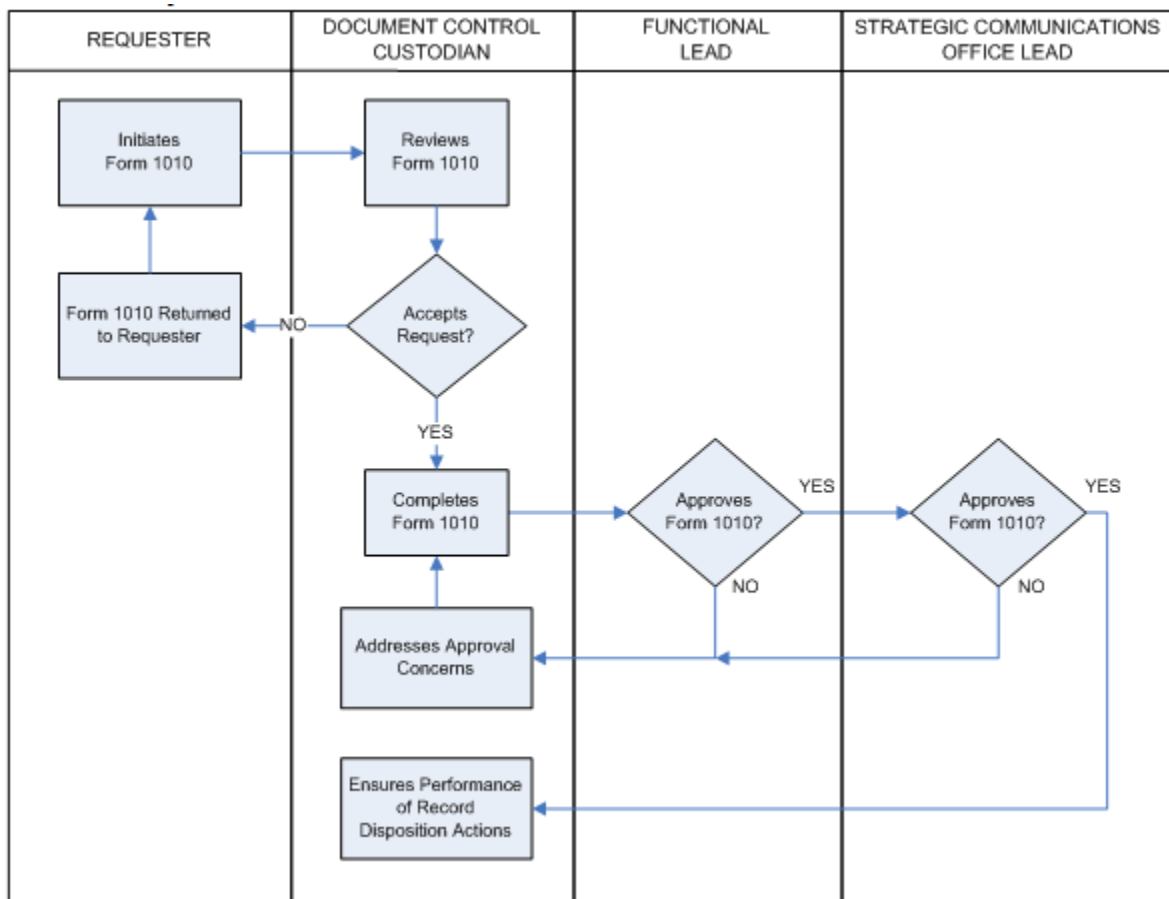
If records have been shipped off-site, retrieval shall be conducted in accordance with NPR 1441.1, *NASA Records Management Program Requirements*. For additional information contact the DCC.

Retention Process

Quality Records shall be retained in accordance with the retention requirement stated in *Records* section of the corresponding SLP/WI. Retention periods for other records are stated in the File Plan. The DCC shall continually ensure that each retention requirement is in accordance with NPR 1441.1, *NASA Records Management Program Requirements*.

Records Disposition Process

Disposition Initiation Process



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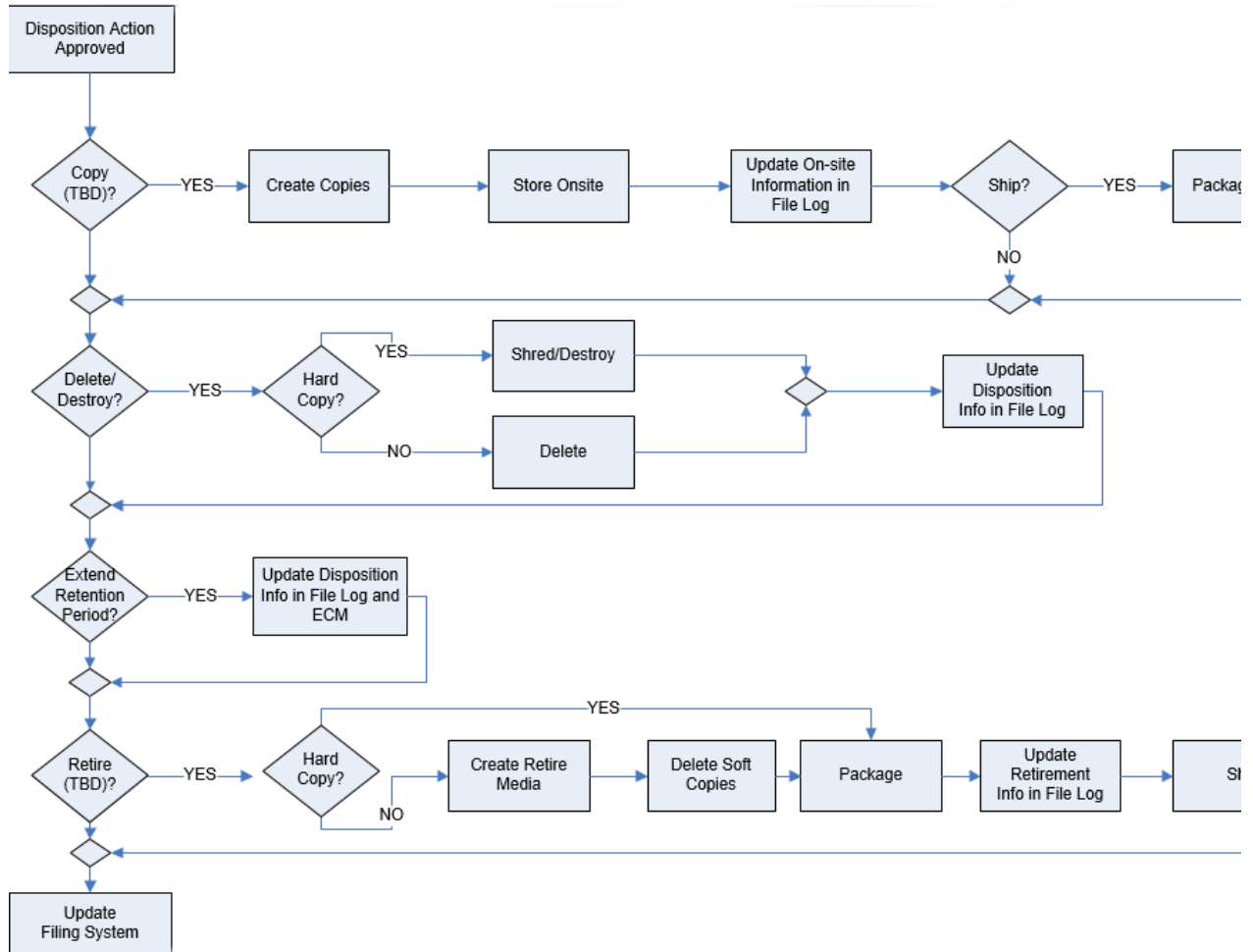
The records disposition process may be initiated under any of the following circumstances:

- A Requester initiates Form 1010, *Records Disposition Request*, and delivers it to one of the filing mailboxes.
- The DCC receives an action notification triggered by the ECM records management module.

- The DCC identifies a need for the disposition of one or more records.

Therefore, the role of “Requester” may be performed by any party, including, the DOs, or the Document Control Custodian.

Records Disposition Action Process



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The DCC shall ensure performance of the actions depicted in the process flow diagram above. The DCC shall facilitate shipping arrangements for the off-site retention and disposition of records to any other area (e.g., another NASA Center, an approved FRC, or the National Archives).

Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

Records

The following records will be generated or updated and filed in accordance with this SLP and in reference to NPR 1441.1, NASA Records Management Program Requirements.

Record Name	Original	Essential	Responsible Person	Retention Requirement	Location
Disposition Approval Package	Y	N	Document Control Custodian	Destroy when 6 years old. (1/75C)	Filing System
File Log	Y	Y	Document Control Custodian	Destroy file plans/indexes when superseded ... or when no longer needed for reference (1/75E)	ECM System
File Plan	Y	Y	Document Control Custodian	Destroy file plans/indexes when superseded ... or when no longer needed for reference (1/75E)	ECM System

References

REFERENCES	
Document ID/Link	Title
0A-9999-M-GSF-3282	System Security Plan for the West Virginia University/Independent Verification & Validation Infrastructure and Tool Architecture
Form 1007	Concurrence Sheet
Form 1009	Waiver Request and Approval
Form 1010	Records Disposition Request
GPR 1440.8	Records Management
IVV QM	NASA IV&V Quality Manual
IVV 17	Internal Quality Audits
NPD 1440.6	NASA Records Management
NPR 1441.1	NASA Records Management Program Requirements
https://www.archives.gov/about/laws/disposal-of-records.html	U.S. Code, Title 44, Chapter 33, Section 3301, <i>Definition of Records</i>

If any procedure, method, or step in this document conflicts with any document in the NASA Online Directives Information System (NODIS), this document shall be superseded by the NODIS document. Any external reference shall be monitored by the Document Owner for current versioning.

Version History

VERSION HISTORY				
V e r s i o n	Description of Change	Rationale for Change	Author	Effective Date
B a s i c	Initial Release		Sia mak Yass ini IT /332	7/23 /1998
A – Q	Older revision information may be located in the Version History Overflow Document		Vari ous	08/26 /1998 – 07 /29 /2010
R	Added GPR 1440.8 and NPD 1440.6 to Reference Documents table		Rich ard Grigg	11/2 /2010
S	Added verbiage in Section 4.3.1 about new filing mailboxes located in Building 2		Rich ard Grigg	2/18 /2011
T	Added Physical Records definition, replace Records Custodian and Records Liaison with DCC. Sections 4.1, 4.2, 4.3, and 4.5 were updated with enhanced roles/ responsibilities and descriptions.	PAR 2011-P-326: Clarify records identification. Clarify and simplify roles/ responsibilities.	Rich ard Grigg	10/25 /2011
U	Added Records definition. Removed Form 1011.	PAR 2012-P-345: Records and Quality Records are different, and there is a lack of clarity. Form 1011 integrated into Form 1010	Rich ard Grigg	10/12 /2012
V	Added encouragement and guidance for records protection in section 4.4.1	PAR 2012-P-387: To prevent project related documents being left in an office when an employee leaves or relocates.	Rich ard Grigg	6/12 /2013
W	Remove the term and definition for Vital Records and add Essential Records in the Definitions and Acronyms section; Change IT Lead to ISO	CAR/PAR 2016-P-476, updating to be consistent across the Program and align with NASA	Step hani e King	10/17 /2019

X	Update Records Disposition Action Process flow to add the option to extend the records retention	CAR 2017-C-496: Updating SLP to match current practice of keeping records beyond the retention schedule	Stephanie King	05/18/2020